

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Raffaella COSTA et al. )  
Application No.: Not Yet Assigned )  
Filed: February 3, 2006 ) Group Art Unit: Not Yet Assigned  
National Stage of International Application No. )  
PCT/EP2003/008613 under 35 U.S.C. 371 )  
Examiner: Not Yet Assigned  
For: INTEGRATED OPTICAL WAVEGUIDE )  
STRUCTURE WITH LOW COUPLING LOSSES TO )  
AN EXTERNAL OPTICAL FIELD )

MAIL STOP PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)**

Pursuant to 37 C.F.R. §§1.56 and 1.97(b), applicants bring to the Examiner's attention the documents listed on attached Form PTO/SB/08 and cited in the international search report. With the exception of the U.S. patents, a copy of each listed document is attached. Applicants respectfully request that the Examiner consider the documents listed on attached Form PTO/SB/08 and indicate that they were considered by making an appropriate notation on this form.

This Information Disclosure Statement is being filed with the above-referenced application.

Also enclosed is an English-language international search report from the European Patent Office in the PCT international application, from which this national phase U.S. application is derived.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claim in the application and applicants determine that the cited documents do not constitute "prior art" under United States law, applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of such documents. Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

10/566948

Customer No. 22,852

Attorney Docket No. 05788.0385

**IAP20 Rec'd PCT/PTO 03 FEB 2006**

If there is any fee due in connection with the filing of this Statement, please  
charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: February 3, 2006

By: 

Ernest F. Chapman  
Reg. No. 25,961

Enclosures  
EFC/FPD/blc

|  |   |    |   |  |                   |
|--|---|----|---|--|-------------------|
| IDS Form PTO/SB/08: Substitute for form 1449A/PTO  |   |    |   | <b>Complete if Known</b><br><b>20/566948</b> |                   |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |   |    |   | Application Number                           | Not Yet Available |
|  |   |    |   | Filing Date                                  | February 3, 2006  |
|  |   |    |   | First Named Inventor                         | Raffaella COSTA   |
|  |   |    |   | Art Unit                                     | Not Yet Available |
|  |   |    |   | Examiner Name                                | Not Yet Available |
| Sheet  | 1 | of | 2 | Attorney Docket Number                       | 05788.0385        |

| U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS |                       |  |   |   |   |
|---|-----------------------|--|---|---|---|
| Examiner Initials                                   | Cite No. <sup>1</sup> | Document Number                          | Issue or Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|   |                       | Number-Kind Code <sup>2</sup> (if known) |   |   |   |
|   |                       | US-5,078,516                             | 01-07-1992                              | Thurston et al.                                 |   |
|   |                       | US-6,240,233                             | 05-29-2001                              | Weinert et al.                                  |   |
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**Note: Copies of the U.S. Patent Documents are not Required in IDS filed after October 21, 2004**

| FOREIGN PATENT DOCUMENTS |                       |   |                                |   |   |                          |
|--------------------------|-----------------------|---|--------------------------------|---|---|--------------------------|
| Examiner Initials        | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | Translation <sup>6</sup> |
|                          |                       | Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) |                                |   |   |                          |
|                          |                       | GB 2 345 980  | 07-26-2000                     | Cho et al.                                      |   |                          |
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| NON PATENT LITERATURE DOCUMENTS |                       |   |                          |
|---------------------------------|-----------------------|---|--------------------------|
| Examiner Initials               | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | Translation <sup>6</sup> |
|                                 |                       | G. WENGER et al., "Design and Fabrication of Monolithic Optical Spot Size Transformers (MOST's) for Highly Efficient Fiber-Chip Coupling", IEEE Journal of Lightwave Technology, Vol. 12, No. 10, pp. 1782-1790, (1994).  |                          |
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|                                 |                       | O. MITOMI et al., "Design of a Single-Mode Tapered Waveguide for Low-Loss Chip-to-Fiber Coupling", IEEE Journal of Quantum Electronics, Vol. 30, No. 8, pp. 1787-1793, (1994).  |                          |
|                                 |                       | K. WOERHOFF et al., "Design, Tolerance Analysis, and Fabrication of Silicon Oxynitride Based Planar Optical Waveguides for Communication Devices", IEEE Journal of Lightwave Technology, Vol. 17, No. 8, pp. 1401-1407, (1999).                                 |                          |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.